

Folk & Traditional Arts Infrastructure Initiative, FY 2002



NATIONAL
ENDOWMENT
FOR THE ARTS

APPLICATION GUIDELINES FY 2002

Application Calendar

OMB No. 3135-0112
Expires 07/31/2003

Category	Application Postmark Deadline	Earliest Announcement of Grant Award or Rejection	Earliest Beginning Date for Endowment Period of Support
Folk & Traditional Arts Infrastructure Initiative	October 1, 2001	March 2002	April 1, 2002

Late applications and ineligible applications will be returned.

If you have questions:

Write: Folk & Traditional Arts
Infrastructure Initiative
National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, NW
Washington, DC 20506-0001

Visit: World Wide Web site at www.arts.gov

Call: 202/682-5678 or 202/682-5726



202/682-5496 Voice/T.T. (Text-Telephone, a device for individuals who are deaf or hard-of-hearing)



Individuals who do not use conventional print may access these guidelines on the Web site or contact the Arts Endowment's Office for AccessAbility at 202/682-5532 for help in acquiring an audio recording of these guidelines.

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INFRASTRUCTURE INITIATIVE**

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MISSION

The National Endowment for the Arts, an investment in America's living cultural heritage, serves the public good by *nurturing* the expression of human creativity, *supporting* the cultivation of community spirit, and *fostering* the recognition and appreciation of the **excellence** and **diversity** of our nation's artistic accomplishments.

GOALS

To fulfill its mission, the Arts Endowment has established the following programmatic goals:

- To broaden public access to the excellence and diversity of the arts.
- To foster opportunities for the creation and presentation of artistically excellent work.
- To strengthen the role of the arts in our nation's educational system and encourage lifelong learning in the arts.
- To preserve our nation's cultural heritage for the 21st century.
- To strengthen the organizational and financial capabilities of America's arts organizations.
- To help address the concerns of America's communities through the arts.
- To strengthen the Endowment's partnerships with the public and private sectors.

Folk & Traditional Arts Infrastructure Initiative

For more than 20 years, the Arts Endowment has helped to create and support a network of folk & traditional arts programs. Many of these programs are housed in state arts agencies, in multi-state regional organizations, and in other organizations that work in partnership with state arts agencies. This initiative advances the Arts Endowment's goal to honor, assist, encourage, and present those artists and forms of artistic expression and practice that reflect the many cultural traditions that make up our nation by strengthening the state and regional infrastructure of support for the folk & traditional arts. For the purposes of these guidelines, the term infrastructure refers to stable, professionally-directed programs that are responsive to a diverse folk & traditional arts heritage.

Priority will be given to those projects with: 1) the greatest impact in expanding or strengthening a state or region's infrastructure of support for the folk & traditional arts, and 2) the potential for long-term artistic impact.

Projects with high impact might include, but are not limited to:

- Professional folk arts positions in support of the folk & traditional arts. Such positions should have the potential to become self-sustaining within three years.
- The creation of long-term organizational and community partnerships that are based in the folk & traditional arts.
- Discovery research to identify and document underserved folk & traditional artists and arts.
- Apprenticeship programs.
- Technical assistance to traditional artists and folk arts organizations.
- Festivals, exhibitions, new technology, and other presentations of folk & traditional artists and their work.

New, expanded, or existing projects are eligible.

Support is not available to assume the costs of activities that currently are supported with federal Partnership Agreements funds, state funds, or other non-federal funds.

LOCAL CULTURES INFRASTRUCTURE PILOT INITIATIVE

For FY 2002, the Folk & Traditional Arts Infrastructure Initiative will support up to 12 **start-up** folk arts positions at local arts agencies and community-based cultural organizations. Priority will be given to professional folk arts positions that address the needs of previously underserved geographic or cultural communities. Positions should have the potential to become self-sustaining within three years. Grant funds may not be used to assume the costs of existing positions.

Organizations that are interested in applying for this pilot initiative must consult with the Folk & Traditional Arts staff (202/682-5678 or 682-5726) prior to August 31, 2001.

ELIGIBILITY

Eligible applicants are:

- The 50 state and six jurisdictional arts agencies.
- **In partnership with a state arts agency**, a state or local public entity or nonprofit tax-exempt organization that supports the folk & traditional arts on a state-wide basis.
- Regional organizations of state arts agencies.
- For the **Local Cultures Infrastructure Pilot Initiative**, a local arts agency or nonprofit tax-exempt community-based cultural organization that supports the folk & traditional arts on a local basis. (Potential applicants must consult with the Folk &

Traditional Arts staff prior to August 31, 2001. Applicants also are encouraged to contact their state arts agency for technical assistance and information on additional resources within the state.)

To be eligible, the applicant organization must:

- Meet the “Legal Requirements” on page 21.
- Have professional staff, paid or volunteer, who can devote the time and effort that are required to accomplish the project.
- If a former grantee, have submitted acceptable Final Report packages on any completed Arts Endowment grant(s) by the Final Report due date(s).

No eligible applicant may submit more than one application under these guidelines. Any state or jurisdiction may submit only one application for a state-wide or multi-state project. However, each state or jurisdiction also may be involved in one additional multi-state application that is submitted by its regional arts organization. NOTE: The Local Cultures Infrastructure Pilot Initiative is not subject to the state-wide and multi-state application limits.

At the time of application, state arts agencies and regional arts organizations must be operating under plans that have been approved by the Arts Endowment.

For state-wide or multi-state projects, applications from groups other than state arts agencies must include letters from the relevant state arts agency(ies) that reflect their support for and involvement in the project. Applications must demonstrate how the project will relate to the state or region’s overall plan for the support of the arts.

Only state arts agencies, their regional arts organizations, and local arts agencies that are publicly-designated, nonprofit tax-exempt organizations are allowed by the Endowment’s current legislation to subgrant or regrant funds that are awarded under this Initiative.

If eligible, a Folk & Traditional Arts Infrastructure applicant also may apply under other Endow-

ment categories, including Grants to Organizations. In each case, the request must be for a project with costs (for both the federal and matching funds) that are distinctly different.

APPLICATION REVIEW AND ANNOUNCEMENT DATE

All applications are reviewed by an advisory panel. Panel recommendations are forwarded to the National Council on the Arts. The Council sends to the Chairman of the National Endowment for the Arts those applications that it recommends for funding. The Chairman makes the final decision on all grant awards. Applicants will be notified of award or rejection in March 2002.

REVIEW CRITERIA

The following criteria are considered during the review of applications:

- **The artistic excellence** of the project.
- **The artistic merit** of the project, which includes the:
 - Impact of the project in expanding or strengthening the local, state, or regional infrastructure of support for the folk & traditional arts, including the potential for long-term artistic impact.
 - Ability of the applicant to complete the project successfully, including the qualifications of the project’s personnel.
 - Applicant’s demonstrated commitment to support of the folk & traditional arts.
 - For professional folk arts positions, the potential to become self-sustaining within three years.
 - Where appropriate, geographic location of the applicant organization, or the potential to reach underserved populations such as those in rural areas, culturally diverse or ethnically specific communities, and individuals with disabilities.

GRANT AMOUNTS AND MATCHING FUNDS

Grants will range from \$10,000 to \$50,000 and require a match of **at least** 1 to 1.

DEADLINE DATE

Complete application packages must be postmarked no later than October 1, 2001.

PERIOD OF SUPPORT

The Endowment's support of a project may start any time on or after April 1, 2002. A grant period of up to two years is allowed. Allow sufficient time to plan, execute, and close out your project.

GENERAL TERMS & CONDITIONS

Federal and agency requirements that relate to grants awarded by the National Endowment for the Arts are highlighted in our General Terms & Conditions, which is sent to all grantees in the grant award package. It also is available from the Arts Endowment's World Wide Web site at www.arts.gov. Included is information on U.S. Office of Management and Budget (OMB) requirements, matching funds, reporting requirements, and lobbying prohibitions.

STANDARDS FOR SERVICE

The Arts Endowment has set the following standards for serving applicants. We pledge to:

- Treat you with courtesy and efficiency.
- Respond to inquiries and correspondence promptly.
- Provide clear and accurate information about our policies and procedures.
- Provide timely information about funding opportunities and mail available guidelines promptly.
- Promptly acknowledge the receipt of your application.
- Ensure that all eligible applications are reviewed thoughtfully and fairly.

We welcome your comments on how we're meeting these standards. Please address them to: Standards for Service Coordinator; Room 628; National Endowment for the Arts; Nancy Hanks Center; 1100 Pennsylvania Ave., NW, Washington, DC 20506-0001; phone: 202/682-5408; e-mail: webmgr@arts.endow.gov, attention: Standards for Service Coordinator.

For questions about these guidelines or your application, contact the Folk & Traditional Arts staff at 202/682-5678 or 202/682-5726.

How to Apply

To make your application easy to photocopy, **use only paper clips or rubber bands**—no staples, please—to fasten your material. Type or word-process all application materials using a 12 point or larger font. Submit all material on one side only. Narrative material (excluding the Application Forms) must have a margin of at least one inch on the top, bottom, and sides of pages so that it can be copied and placed in notebooks for panel review.

Send your application package to:

Office of Information and Technology Management
Room 815
(Folk & Traditional Arts Infrastructure Initiative)
National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, NW
Washington, DC 20506-0001

Please submit your application material in the order and format noted below:

1. The completed Application Acknowledgment Card from the inside back cover of these guidelines.

The guidelines on our Web site do not include the Application Acknowledgment Card. If you use the on-line version, please self-address a postcard and include it with your application. The Endowment will complete the postcard and return it to you in lieu of an Application Acknowledgment Card.

2. **One copy of 1) a letter from the Internal Revenue Service (IRS) that reflects the applicant's current IRS status and legal organization name, or 2) the official document that identifies the applicant as a unit of state or local government, or as a federally recognized tribal community or tribe.** Local arts agencies applying for subgranting projects also must include a copy of the city/county ordinance, resolution, charter, or contract that assigns them the authority to operate on their local government's behalf.

3. The **original** (i.e., a set with original signatures) and **two copies** of the Application Forms on pages 8-20. Instructions for those items that require explanation are on the form or on the page opposite the form in this booklet. When you photocopy your two copies of the completed Application Forms, be sure to copy only the forms and not the instruction pages.

Application forms that can be filled out on a computer are available on the Arts Endowment's World Wide Web site at www.arts.gov. Application forms also may be reproduced on a computer, but they must be accurate replicas of the actual forms. Do not add pages. All completed application forms must be mailed to the Arts Endowment in hard copy format as part of the application package.

4. **Three sets of supplementary material** (up to 20 pages per set) that can enhance a panelist's understanding of the project. Include a concise sampling of items such as letters of support, biographies of key project-related personnel, brochures, published articles, documentation of a Web site, maps, or other relevant documents.

For state-wide or multi-state projects, applications from groups other than state arts agencies must include letters from the relevant state arts agency(ies) that reflect their support for and involvement in the project. **Applications must demonstrate how the project will relate to the state or region's overall plan for the support of the arts.**

5. If appropriate to the project, **one copy** of a work sample(s) that can demonstrate the artistic excellence and artistic merit of the project. Also complete and submit the Work Sample Index on page 16. See "How to Submit Work Samples" on page 17.

6. If the project has received previous Arts Endowment support under any category, **three copies** of a one-page status report on the activities that were funded. Provide the grant number(s).

Basic Information

OMB No. 3135-0112
Expires 07/31/2003

Is this your first application to the Arts Endowment? ☐ No ☐ Yes

If no, please check here if your name or address has changed since your last application: ☐

Applicant (official IRS name):

Mailing Address: Street Address (if different):

World Wide Web Address: Taxpayer ID Number (9-digit number):

For this application, the applicant is serving as a (check if applicable): ☐ Fiscal Agent ☐ Parent of a Component

If you have checked one of the boxes above, list here the group or entity on whose behalf you are applying:

Project Director First: Last: (Check one) ☐ Mr. ☐ Ms.

Title: E-mail:

Telephone: () ext. Fax: ()

Category: Folk & Traditional Arts Infrastructure Initiative (3-55)

Period of Support (e.g., 04/01/02 to 03/31/03): / / To: / /

Summary of project:

Project Budget Summary:

\$	PLUS	\$	MUST EQUAL	\$
Amount Requested		Total Match for this Project		Total Project Costs

Total organizational operating expenses for the most recently completed fiscal year: \$

For year ending (Month/Year): /

I certify that the information contained in this application, including all attachments and supporting material, is true and correct to the best of my knowledge. I also certify that the applicant is in compliance with the federal requirements specified under "Assurance of Compliance" on pages 21-23.

1. Authorizing Official First: Last: (Check one) ☐ Mr. ☐ Ms.

Title: E-mail:

Telephone: () ext. Fax: ()

Signature of Authorizing Official: Date: / /

Optional

2. Additional Authorizing Official First: Last: (Check one) ☐ Mr. ☐ Ms.

Title: E-mail:

Telephone: () ext. Fax: ()

Signature of Additional Authorizing Official: Date: / /

Instructions for the Basic Information Form

APPLICANT: Type your organization's name and address in the spaces provided. The name provided here and at the top of each page must be identical to the applicant's legal name in the IRS determination letter for tax-exempt status or in the official document that identifies the organization as a unit of state or local government, or as a federally recognized tribal community or tribe. If you indicate that your name has changed, you must provide the IRS documentation that proves this. If the applicant uses a popular name that is different, you may note that name in parentheses after the IRS name.

If you are a fiscal agent or a parent organization that is applying on behalf of a sponsored organization or component, do not list the name of the sponsored organization or component here; you will be asked to provide it below. For example, a fiscal agent applying on behalf of a sponsored organization would list its name here ("State Arts Council"), and the name of the sponsored organization ("ABC Community Organization") below.

TAXPAYER ID NUMBER: Also known as "Employer Identification Number." Enter the 9-digit number that was assigned by the Internal Revenue Service; do not use a Social Security Number.

FOR THIS APPLICATION, THE APPLICANT IS SERVING AS A (check if applicable; otherwise leave blank):

■ **Fiscal agent for another organization** that does not have its own nonprofit status but otherwise meets the eligibility requirements. Check the "Fiscal Agent" box and enter the name of the group on whose behalf you are applying in the space provided. Unless otherwise noted, items that relate to the official applicant should refer to the fiscal agent.

■ **Parent institution applying on behalf of an eligible separate component** (e.g., a radio station located on a university campus). Check the "Parent of a Component" box and enter the name of the component in the space provided. Unless otherwise noted, items that relate to the official applicant should refer to the parent organization.

PERIOD OF SUPPORT is the span of time that is necessary to plan, execute, and close out your project. Use two-digit numerals, e.g., 04/01/02 to 03/31/03. The Endowment's support of a project may start any time on or after April 1, 2002. A grant period of up to two years is allowed.

PROJECT BUDGET SUMMARY:

■ **Amount Requested:** Be sure that this is the same as the "Amount requested from the Arts Endowment" on page 12.

■ **Total Match for this Project:** This is a restatement of the "Total match for this project" on page 12.

■ **Total Project Costs:** This is a restatement of the "Total project costs" on page 14.

TOTAL ORGANIZATIONAL OPERATING EXPENSES FOR THE MOST RECENTLY COMPLETED FISCAL YEAR:

If you are a fiscal agent or a parent organization, provide this information for the group or component on whose behalf you are applying. Unaudited figures are acceptable.

AUTHORIZING OFFICIAL(S): Provide this information for the official of the applicant organization who has the legal authority to obligate the organization. This individual should sign and date the form where indicated.

If you are awarded a grant, the authorizing official(s) identified on your application can sign payment requests, requests to amend the grant, and final reports. If your organization wishes to identify more than one authorizing official for this project, please provide the information requested under "2. Additional Authorizing Official" and have the second authorizing official sign in the space provided.

Application Narrative

OMB No. 3135-0112
Expires 07/31/2003

Read the instructions on page 11 before you start. You may attach up to three additional pages if necessary.

Applicant (official IRS name):

Instructions for the Application Narrative Form

Type your narrative in the space provided; leave a one inch margin on each side. Do not reduce type below 12 point font size; leave space between paragraphs. The Endowment and panelists prefer succinct narratives; however, you may attach up to three additional pages if necessary. Make sure that any additional pages are labeled clearly with your organization's name and have margins of at least one inch.

The information that you provide will be reviewed in accordance with the "Review Criteria" on page 5. Make sure your narrative addresses each of the "Review Criteria" and includes information on:

- The project's strategic role in building infrastructure for the folk & traditional arts.
- How the project will benefit all participating partners.
- Plans for assessment of the project's accomplishments.
- For state-wide or multi-state projects, how the project will relate to the state or region's overall plan for the support of the arts.
- For professional folk arts positions, how the position will become self-sustaining within three years.
 - For the **Local Cultures Infrastructure Pilot Initiative**, how the position addresses the needs of previously underserved geographic or cultural communities.

Project Budget

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Expires 07/31/2003

Page 1 of 2. Read the instructions on page 13 before you start.

Applicant (official IRS name):

INCOME

1. Amount requested from the Arts Endowment: \$

2. Total match for this project. Be as specific as possible. Asterisk (*) those funds that are committed or secured.

Cash (Refers to the cash donations, grants, and revenues that are expected or received for this project)	Amount
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Total cash a. \$

Donated space, supplies, volunteer services (These same items also must be listed as direct costs under "Expenses" below or on page 14; identify sources)

Total donations b. \$

Total match for this project (a. + b.) \$

EXPENSES

1. Direct costs: Salaries and wages

Title and/or type of personnel	Number of personnel	Annual or average salary range	% of time devoted to this project	Amount
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Total salaries and wages a. \$

Fringe benefits	Total fringe benefits b. \$
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Total salaries, wages, and fringe benefits (a. + b.) \$

Instructions for the Project Budget Form

Organizations may not receive grants from more than one Arts Endowment category for the same expenses. **Support is not available to assume the costs of activities that currently are supported with federal Partnership Agreements funds, state funds, or other non-federal funds.** Only state arts agencies, their regional arts organizations, and local arts agencies that are publicly-designated, nonprofit tax-exempt organizations are allowed by the Endowment’s current legislation to subgrant or regrant funds that are awarded under this Initiative.

Your Project Budget should reflect only those costs that will be incurred during the “Period of Support” that you indicate on page 8; do not include costs incurred before or after those dates. **Round all numbers to the nearest \$100.** Combine like costs if necessary to making rounding more realistic.

INCOME

- 1. AMOUNT REQUESTED FROM THE ARTS ENDOWMENT:** Indicate the amount that you are requesting from the Arts Endowment.
- 2. TOTAL MATCH FOR THIS PROJECT:** The Arts Endowment requires each applicant to obtain at least half the total cost of each project from non-federal sources. Matches of more than dollar for dollar are encouraged. Be as specific as possible. **Asterisk (*) those funds that are committed or secured.**

Cash match refers to the cash donations (including items or services that are provided by the applicant organization), grants, and revenues that are expected or received for this project. Do not include any Arts Endowment or other federal grants that are anticipated or received. Identify sources.

Donated space, supplies, volunteer services (also known as **in-kind** contributions) are goods and services that are donated by individuals or organizations other than the applicant. **To qualify as matching resources, these same items also must be listed in the project budget as direct costs.** The dollar value of these non-cash donations should be calculated at their verifiable fair-market value. Identify sources. Reminder: Proper documentation must be maintained for all items noted as “in-kind.”

EXPENSES

DIRECT COSTS are those that are identified specifically with the project.

- 1. DIRECT COSTS: Salaries and wages** cover compensation for personnel, administrative and artistic, who are paid on a salary basis. (Funds for contractual personnel and compensation for artists who are paid on a fee basis should be included in “3. Other expenses,” and not here.) Indicate the title and/or type of personnel, the number of personnel, the annual or average salary range, and the percentage of time that will be devoted to the project. List key staff positions, and combine similar functions. Where appropriate, use ranges. (See example below.)

Salaries and wages for performers and related or supporting personnel must be estimated at rates no less than the prevailing minimum compensation as required by the Department of Labor Regulations. (See “Legal Requirements” on page 21.) Salaries and wages that are incurred in connection with fund raising are not allowable project expenses; do not include them in your budget.

Fringe benefits are those costs other than wages or salary that are attributable to an employee, as in the form of pension, insurance, etc. They may be included here only if they are not included as indirect costs.

EXAMPLE

Title and/or type of personnel	Number of personnel	Annual or average salary range	% of time devoted to this project	Amount
Executive Director	1	\$40,000 per yr.	10%	\$4,000
Archivists	3	\$20-25,000 per yr.	5–40%	\$15,000
Support Staff	2	\$15-20,000 per yr.	20–30%	\$9,000

Project Budget

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Page 2 of 2. Read the instructions on page 15 before you start.

Applicant (official IRS name):

EXPENSES, CONTINUED

2. Direct costs: Travel (include subsistence)

# of travelers	From	To	Amount
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Total travel \$

3. Direct costs: Other expenses (Include consultant and artist fees, honoraria, contractual services, sign-language interpretation, closed or open captioning, large-print brochures/labeling, telephone, photocopying, postage, supplies and materials, publication, distribution, translation, transportation of items other than personnel, rental of space or equipment, and other project-specific costs)

Amount

Total other expenses \$

4. Total direct costs (1.+2.+3.) \$

5. Indirect costs (if applicable):

Federal Agency:	Rate (%)	x Base	= \$
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6. Total project costs (4.+5.) \$

Instructions for the Project Budget Form

EXPENSES, CONTINUED

2. DIRECT COSTS: Travel must be estimated according to the applicant’s established travel practice, providing that the travel cost is reasonable and does not exceed the cost of air coach accommodations. Include subsistence costs as part of the “Amount” listed for each trip, as appropriate. Foreign travel, if any is intended, must be specified in this section and must conform with government regulations. If Arts Endowment funds are used for foreign travel, such travel must be booked on a U.S. air-carrier when this service is available.

3. DIRECT COSTS: Other expenses include consultant and artist fees, honoraria, contractual services, sign-language interpretation, closed or open captioning, large-print brochures/labeling, telephone, photocopying, postage, supplies and materials, publication, distribution, translation, transportation of items other than personnel, rental of space or equipment, and other project-specific costs. **List artist compensation here if artists are paid on a fee basis.**

Television broadcast projects and educational/interpretive videos must be closed or open captioned. Applicants should check with captioning organizations for an estimate.

If you intend to purchase any equipment that costs \$5,000 or more per item and that has an estimated useful life of more than one year, you must identify that item here and attach a written justification.

Group similar items together on a single line, with only one total cost. List consultant and artist fees, honoraria, or contracts for professional services on consecutive lines; do not scatter them throughout the list. Specify the number of persons and the applicable fee, rate, or amount of each. You may attach additional sheet(s) if necessary. (See example below.)

Do not include fund raising, entertainment or hospitality activities, fines and penalties, bad debt costs, deficit reduction, cash reserves or endowments, lobbying, marketing expenses that are not directly related to the project, contingencies, miscellaneous, or costs incurred before the beginning of the official grant period.

4. TOTAL DIRECT COSTS is the total of all direct cost items listed in “1. Salaries and wages,” “2. Travel,” and “3. Other expenses.”

5. INDIRECT COSTS are overhead or administrative costs that are not readily identifiable with a specific project. In order to assign these costs to a particular project, an indirect cost rate may be used provided you have negotiated, or will negotiate before the end of the grant period, such a rate with the Arts Endowment or another federal agency. You do **not** need to include indirect costs to apply to or to receive a grant from the Endowment. Administrative costs may be assigned as direct costs under “3. Other expenses” if you do not wish to use indirect costs, or if you do not have or intend to negotiate an indirect cost rate. If you are not applying with an indirect cost rate, leave this section blank. If you are applying with an indirect cost rate, attach a copy of your current negotiated agreement.

For guidance on how to prepare an indirect cost rate proposal, contact the Office of Inspector General, Room 601, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, NW, Washington, DC 20506-0001 (202/682-5402).

6. TOTAL PROJECT COSTS is the total of “4. Total direct costs,” and, if applicable, “5. Indirect costs.” NOTE: “1. Amount requested from the Arts Endowment” plus “2. Total match for this project” must equal the “Total project costs.” Your project budget should **not** equal your organization’s entire operating budget.

EXAMPLE

Artists (5 @ \$300–500 per week/30 weeks)	\$60,000
Consultants (2 @ \$150 per 1/2 day/1 day per mo./10 mos.)	\$6,000
Access accommodations (sign-language interpretation and audio description)	\$1,200
Costumes, props	\$6,500
Project supplies	\$4,000
Administration (rent, telephone, copying)	\$5,000

Work Sample Index

OMB No. 3135-0112
Expires 07/31/2003

Refer to "How to Apply" on page 7 and the instructions on page 17. List the work(s) submitted as part of your application package in the order in which you want them reviewed.

Applicant (official IRS name):

WORK SAMPLE A

1. Format (check one): ☐ Slides ☐ Books/publications ☐ Audio cassette ☐ CD ☐ DAT
 ☐ VHS ☐ 3/4" video cassette ☐ CD-ROM ☐ Other _____
-

2. List selections/describe contents
(Where appropriate, indicate title of work/artists/production credits, etc. Attach additional sheet(s) if necessary):

-
3. Date work(s) completed or performed:
-

4. Relationship of work sample to the project:
-

-
5. Special Instructions (Include cue information or real elapsed time, indicating the start of each selection):
-

WORK SAMPLE B

1. Format (check one): ☐ Slides ☐ Books/publications ☐ Audio cassette ☐ CD ☐ DAT
 ☐ VHS ☐ 3/4" video cassette ☐ CD-ROM ☐ Other _____
-

2. List selections/describe contents
(Where appropriate, indicate title of work/artists/production credits, etc. Attach additional sheet(s) if necessary):

-
3. Date work(s) completed or performed:
-

4. Relationship of work sample to the project:
-

-
5. Special Instructions (Include cue information or real elapsed time, indicating the start of each selection):
-

If more than two work samples are submitted, you may either copy this blank form, obtain a copy of this form from the Arts Endowment's World Wide Web site at www.arts.gov, or reproduce it on your computer (please keep to the original format). Label additional samples C, D, E...

Instructions for the Work Sample Index Form

List and describe the work samples that you are submitting in the order in which you want them reviewed.

HOW TO SUBMIT WORK SAMPLES

Work samples are crucial for evaluating the artistic quality of your project. Please take the time to select samples that communicate effectively the range and quality of your proposal.

Panelists generally spend no more than three to five minutes on the work sample(s) for each application. Organize and cue your submission(s) accordingly. Please be aware that the entire sample (not just the selected segment) is considered a part of the application package and may be reviewed.

Work samples generally will not be returned. The Arts Endowment will attempt to return them when the applicant specifically requests that we do so. Do not submit a return envelope with your work samples. The Endowment cannot be responsible for any loss or damage.

ALL WORK SAMPLES

Label each sample clearly with the name of the applicant and the corresponding Work Sample letter from the Work Sample Index. If possible, label both the cassette or disc, and its container. If you are submitting slides, see the instructions below.

SPECIFIC INSTRUCTIONS FOR CERTAIN TYPES OF WORK SAMPLES

AUDIO AND VIDEO CASSETTES: List each cassette as one work sample on the Work Sample Index form. Place the selection(s) in priority order, with those that you would most like reviewed at the beginning of the tape. **Indicate the accumulated elapsed real time of each.** For example, starting at the beginning of a 15-minute tape, Selection 1 would be indicated as 0'00". If five minutes elapse from the beginning of the tape to where the second selection starts, Selection 2 would be indicated as 5'00", etc.

AUDIO CASSETTES: Work may be submitted on an audio cassette or on DAT (digital audiotape). Use high bias chrome or metal tapes; do not use voice quality tapes unless you are applying for a spoken-word project. Note on the cassette whether or not you have used a noise reduction system and indicate what kind. Record works on one side only. For DATs, program a separate track for each selection on the tape.

VIDEO CASSETTES: Tapes must be 1/2 inch VHS or 3/4 inch cassette, recorded at standard play speed.

COMPACT DISCS: List each CD as one work sample on the Work Sample Index form. Indicate the track number(s) that you want reviewed in priority order.

CD-ROMs: List each CD-ROM as one work sample on the Work Sample Index form. Indicate the files(s) that you want reviewed in priority order. Include instructions on how to open the files.

SLIDES: Slides must be 35 mm and suitable for carousel projection. Do not submit glass slides or use masking tape or other thick tape to label slides. Submit slides as follows:

- Number each slide.
- Place an ink dot on the **front bottom left** of each slide to guarantee that it is projected correctly.
- Place the slides in a 9 inch by 11 inch clear plastic file sheet.
- **List your set of slides as one work sample on the Work Sample Index form.** Attach to the Work Sample Index a numbered list of the individual slides. Be sure that the numbers on your list correspond to the numbers on each slide. Provide the following information, as applicable, about each slide:
 - Artist's name.
 - Title of slide/work.
 - Medium.
 - Date of work/activity.
 - Dimensions of artwork.
 - A brief description of the work, including how this image relates to the project.

ADVANCED TECHNOLOGY (e.g., electronic publications, computer art, Internet projects): Call the Arts Endowment staff at 202/682-5678 or 202/682-5726 for guidance in preparing a submission.

Organization & Project Profile

OMB No. 3135-0112
Expires 07/31/2003

Applicant (official IRS name):

This form is used by the National Endowment for the Arts to develop statistical profiles of the applications it receives. Your responses will **not** be a factor in the review of your application.

PART I

This section requires information about the applicant. If you are a fiscal agent or a parent organization, your responses should relate to your organization, not the group or component on whose behalf you are applying.

A. ORGANIZATIONAL STATUS: Using the following list, select the **one** item which best describes the legal status of the organization:

- | | | | | | |
|------------------------|-----------------------------|-------------------|-----------------------------|-------------------|-----------------------------|
| Nonprofit organization | 02 <input type="checkbox"/> | State government | 05 <input type="checkbox"/> | County government | 07 <input type="checkbox"/> |
| Municipal government | 08 <input type="checkbox"/> | Tribal government | 09 <input type="checkbox"/> | None of the above | 99 <input type="checkbox"/> |

B. ORGANIZATIONAL DESCRIPTION: Using the following list, select the **one** item which best describes the organization:

- | | | | | | | | |
|--|-----------------------------|--|-----------------------------|--|-----------------------------|--|------------------------------|
| Arts Center
(e.g., a multi-purpose arts facility) | 15 <input type="checkbox"/> | Community Service Organization (a non-arts service organization, e.g., youth center, chamber of commerce, or YMCA) | 32 <input type="checkbox"/> | Historical Society/Commission | 28 <input type="checkbox"/> | School District | 19 <input type="checkbox"/> |
| Arts Council or Agency
(includes regional arts organizations) | 16 <input type="checkbox"/> | Fair or Festival | 14 <input type="checkbox"/> | Humanities Council or Agency | 29 <input type="checkbox"/> | Social Service Organization (a governmental or private agency, e.g., a public housing authority) | 50 <input type="checkbox"/> |
| Arts Service Organization | 17 <input type="checkbox"/> | Foundation | 30 <input type="checkbox"/> | Museum—Art | 08 <input type="checkbox"/> | State-wide Assembly | 17A <input type="checkbox"/> |
| College or University | 26 <input type="checkbox"/> | Gallery/Exhibition Space | 10 <input type="checkbox"/> | Museum—Other | 09 <input type="checkbox"/> | None of the above | 99 <input type="checkbox"/> |
| | | Government
(state, county, local, or tribal) | 38 <input type="checkbox"/> | Performance Facility | 07 <input type="checkbox"/> | | |
| | | | | Presenter/Cultural Series Organization | 47 <input type="checkbox"/> | | |

C. ORGANIZATIONAL DISCIPLINE: Using the following list, select the **one** item which best describes the organization's area of work in the arts (not the project for which it is applying):

- | | | | | | | | |
|--------|-----------------------------|-------------------------|-----------------------------|---|-----------------------------|-------------------|-----------------------------|
| Crafts | 07 <input type="checkbox"/> | Folk & Traditional Arts | 12 <input type="checkbox"/> | Visual Arts | 05 <input type="checkbox"/> | None of the above | 99 <input type="checkbox"/> |
| Dance | 01 <input type="checkbox"/> | Humanities | 13 <input type="checkbox"/> | Multidisciplinary
(more than one discipline) | 14 <input type="checkbox"/> | | |
| | | Music | 02 <input type="checkbox"/> | | | | |

D. ORGANIZATIONAL RACE/ETHNICITY (OPTIONAL): Using the designations below, select the **one** item which best describes the predominant racial/ethnic identity of the organization. If at least half of the board, staff, or membership belongs to one of the listed racial/ethnic groups, use that designation. If no one group predominates, select "General".

- | | | | | | | | |
|----------------------------------|----------------------------|---------------------------|----------------------------|---|----------------------------|--|----------------------------|
| American Indian or Alaska Native | N <input type="checkbox"/> | Black or African American | B <input type="checkbox"/> | Native Hawaiian or Other Pacific Islander | O <input type="checkbox"/> | General
(No predominant racial/ethnic identity) | G <input type="checkbox"/> |
| Asian | A <input type="checkbox"/> | Hispanic or Latino | H <input type="checkbox"/> | White | W <input type="checkbox"/> | | |

E. ACCESSIBILITY: Check below as applicable to indicate if the organization's board or staff includes an older adult (65 years of age or older) or a person with a disability (a physical or mental impairment that substantially limits one or more major life activities); otherwise leave blank.

- Older Adults ☐ Individuals with Disabilities ☐

Organization & Project Profile (cont'd.)

OMB No. 3135-0112
Expires 07/31/2003

Applicant (official IRS name):

PART II — This section requires information about the project.

A. **PROJECT DISCIPLINE:** Using the following list, select the **one** item which best describes the project discipline:

Crafts	07 <input type="checkbox"/>	Folk & Traditional Arts	12 <input type="checkbox"/>	Visual Arts	05 <input type="checkbox"/>	None of the above	99 <input type="checkbox"/>
Dance	01 <input type="checkbox"/>	Music	02 <input type="checkbox"/>	Multidisciplinary (more than one discipline)	14 <input type="checkbox"/>		

B. **ACTIVITY TYPE:** Using the following list, select the **one** item which best describes the main activity of the project:

Concert/Performance/ Reading Includes production development	05 <input type="checkbox"/>	Seminar/Conference	22 <input type="checkbox"/>	Research/Planning Includes program eval- uation, strategic planning, discovery research, and establishing partnerships	19 <input type="checkbox"/>	School Residency Artist activities in an educational setting	20 <input type="checkbox"/>
Exhibition Includes visual arts, media arts, design, and exhibition development	06 <input type="checkbox"/>	Apprenticeship	25 <input type="checkbox"/>	Building Public Awareness Activities designed to increase public understanding of the arts or to build public support for the arts	33 <input type="checkbox"/>	Other Residency Artist activities in a non- school setting	21 <input type="checkbox"/>
Fair/Festival	08 <input type="checkbox"/>	Distribution of Art (e.g., films, books, prints; include broadcasting)	24 <input type="checkbox"/>	Technical Assistance with technical/administra- tive functions	34 <input type="checkbox"/>	Curriculum Development/ Implementation Includes the design and distribution of instructional materials, methods, evaluation criteria, etc.	31 <input type="checkbox"/>
Identification/ Documentation (e.g., for archival or educational purposes)	09 <input type="checkbox"/>	Professional Support: Administrative (includes consultant fees)	14 <input type="checkbox"/>			None of the Above	99 <input type="checkbox"/>
Publication (e.g., books, manuals, newsletters)	17 <input type="checkbox"/>	Professional Support: Artistic (e.g., artists' fees, payments for artistic services)	15 <input type="checkbox"/>				
		Professional Development/Training Activities enhancing career advancement	29 <input type="checkbox"/>				

C. **PROJECT DESCRIPTORS:** Using the following list, select **up to four** items that represent a significant aspect of the project:

Arts for Older Adults Projects for artists/ audiences 65 years of age or older	9O <input type="checkbox"/>	Arts for Individuals with Disabilities or Individuals Living in Institutions	9P <input type="checkbox"/>	Minority Outreach Outreach programs by non-minority organizations aimed at minority populations	9G <input type="checkbox"/>	Presenting The presentation of exhibitions, productions, etc., created elsewhere	9M <input type="checkbox"/>
Arts for Youth Projects for young people 18 years of age or younger	9L <input type="checkbox"/>	Arts for Inner-City Communities	9D <input type="checkbox"/>	Minority Programming Projects by non-minority organizations whose content clearly reflects minority groups or their heritage	9H <input type="checkbox"/>	Computer/Digital Technology The use of new technology for the creation or dissem- ination of artworks, building a Web site, etc.	9A <input type="checkbox"/>
Arts for "At Risk" Persons (Adults or Youth)	9E <input type="checkbox"/>	Arts for Rural Communities	9C <input type="checkbox"/>	Touring The movement of artworks or artists for performances, etc., to benefit audiences in different geographic areas	9B <input type="checkbox"/>		
		International Activity Projects involving U.S. artists in other countries, visiting foreign artists, cultural exchanges, etc.	9I <input type="checkbox"/>				

Applicant (official IRS name):

D. SCHOOL/AFTER-SCHOOL ACTIVITY: If your project involves pre-K through 12 students, answer the following questions by selecting yes or no; otherwise leave blank.

Will activity take place in a pre-K through 12 school facility? ☐ Yes ☐ No

Will activity take place outside the regular school day? ☐ Yes ☐ No

E. ARTS EDUCATION: Of the following responses, select the one that best characterizes the extent to which this project involves arts education (i.e., systematic educational efforts with measurable outcomes designed to increase knowledge of and/or skills in the arts):

		50% or more with activities primarily directed to:			
None	99 <input type="checkbox"/>	K-12 Students	01A <input type="checkbox"/>	Pre-Kindergarten Children	01C <input type="checkbox"/>
Some, but less than 50%	02 <input type="checkbox"/>	Adult Learners	01D <input type="checkbox"/>	Higher Education Students	01B <input type="checkbox"/>
		Includes teachers & artists		Multiple Groups of Learners	01 <input type="checkbox"/>

F. PROJECT ACTIVITY: Provide an estimate, to the extent possible, for each of the following that is relevant to your project. Leave blank any items that are not applicable or that do not represent a significant aspect of the project.

<div># of concerts/performances/readings to be presented</div> <div># of exhibitions to be curated/presented (include visual arts, media arts, and design)</div> <div># of books and/or catalogues to be published (# of different titles)</div> <div># of artists' residencies to occur (artists' activities in schools or other community settings over an extended period of time)</div>	<div># of pre-K through 12 schools expected to participate</div> <div># of community organizations partnered with to carry out the project</div> <div># of apprenticeships to be offered</div> <div># of programs to be broadcast on radio or television (# of different programs)</div> <div>For state/regional/local arts agencies only: # of subgrants to be awarded</div>
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G. PARTICIPANTS/AUDIENCES BENEFITING: Provide an estimate, to the extent possible, for each of the following that is relevant to your project. Include only those persons expected to directly participate in or benefit from the project during the grant period. Leave blank any items that are not applicable.

<div># of artists (include all members of performing groups and living artists whose work is presented, e.g., in an exhibition or concert)</div> <div># of teachers/administrators</div> <div># of children/youth (18 years of age or younger)</div>	<div>Total # of individuals benefiting (include all figures in the left column and all other participants/audiences—except broadcast audiences)</div> <div>Total estimated audience for radio or television broadcast</div>
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Legal Requirements

By law, the National Endowment for the Arts may support only those organizations that:

- **Are tax-exempt.** Organizations qualifying for this status must meet the following criteria:

- (1) No part of net earnings may benefit a private stockholder or individual.

- (2) Donations to the organization must be allowable as a charitable contribution under Section 170(c) of the Internal Revenue Code of 1954, as amended.

For further information, go to the Internal Revenue Service (IRS) Web site at www.irs.gov; write the IRS TE/GE Division, Customer Service, P.O. Box 2508, Cincinnati, OH 45201; or call the IRS office listed in your area.

- **Compensate all professional performers and related or supporting professional personnel on Arts Endowment-supported projects at no less than the prevailing minimum compensation.**

(This requirement is in accordance with regulations that have been issued by the Secretary of Labor in part 505 of Title 29 of the Code of Federal Regulations; part 505 does not provide information on specific compensation levels. You can link to it through the FY 2002 Folk & Traditional Arts Infrastructure Initiative guidelines document on our Web site at www.arts.gov.)

- **Assure that no part of any Arts Endowment-supported project will be performed or engaged in under working conditions which are unsanitary or hazardous or dangerous to the health and safety of the employees involved.**

- **Comply with the federal requirements that are outlined in the “Assurance of Compliance” section below.**

ASSURANCE OF COMPLIANCE

By signing the application form, the Applicant certifies that it is in compliance with the statutes outlined below and all related Arts Endowment regulations and will maintain records and submit the reports that are necessary to determine compliance. The Applicant further certifies that it will obtain assurances of compliance from all sub-recipients of Endowment funds to comply with these requirements. The Arts Endowment may conduct a review of your organization to ensure that it is in compliance. If the Endowment determines that a grantee has failed to comply with these statutes, it may suspend, terminate, and/or recover funds. This assurance is subject to judicial enforcement.

I. Nondiscrimination Statutes

The Applicant certifies that it does not discriminate:

- On the grounds of race, color, or national origin (including limited English proficiency), in accordance with **Title VI of the Civil Rights Act of 1964**, as amended (42 U.S.C. 2000d et seq.).

- On the grounds of disability, in accordance with **Section 504 of the Rehabilitation Act of 1973** (29 U.S.C. 794) and the **Americans with Disabilities Act of 1990** (“ADA”) (42 U.S.C. 12101-12213). The ADA’s requirements apply regardless of whether you receive federal funds.

- On the basis of age, in accordance with the **Age Discrimination Act of 1975** (42 U.S.C. 6101 et seq.).

- On the basis of sex, in any education program or activity, in accordance with **Title IX of the Education Amendments of 1972** (20 U.S.C. 1681 et seq.).

For further information and copies of the nondiscrimination regulations identified above, contact the Endowment's Office of Civil Rights at 202/682-5454 or 202/682-5695 Voice/T.T., or link to them through the FY 2002 Folk & Traditional Arts Infrastructure Initiative guidelines document on our Web site at www.arts.gov. For inquiries about limited English proficiency, contact the Office of General Counsel at ogc@arts.endow.gov or 202/682-5418.

2. Regulations relating to Debarment and Suspension (45 C.F.R. pt. 1154) in which the Applicant certifies that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in covered transactions by any federal department or agency, nor

Has, within the three years preceding the submission of this application, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with a public (federal, state, or local) transaction or a contract under a public transaction; for violation of federal or state antitrust statutes; for commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; had any public transactions terminated for cause or default; or is presently indicted for or otherwise criminally or civilly charged by a governmental entity with any of the preceding offenses.

3. Federal Debt Status (OMB Circular A-129). The applicant certifies that it is not delinquent in the repayment of any federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments.

4. The Drug-Free Workplace Act of 1988 (41 U.S.C. 701 et seq. and 45 C.F.R. pt. 1154) requires grantee organizations, within 30 days of receiving a grant, to make a continuing, good faith effort to maintain a drug-free workplace through implementation of the following:

- Publish a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace, and specifying the actions that will be taken against employees for violation of the prohibition. (For the purposes of this Act, alcohol is not considered a controlled substance.) The grantee shall give a copy of the statement to each employee who will be involved in grant-supported activities and notify those employees that they are expected to abide by the statement. For the purposes of this law, "employees" include consultants and temporary personnel (but not volunteers), who are directly engaged in work under the grant and who are on the grantee's payroll. The grantee should maintain on file the address of each site where work is performed under the grant.

- Establish a drug-free awareness program that will inform employees about the dangers of drug abuse in the workplace, the grantee's policy of maintaining a drug-free workplace, any available drug counseling, rehabilitation, and employee assistance programs, and the penalties that might be imposed for workplace drug abuse violations. Employees should be informed that any conviction for a violation of a criminal drug statute that occurs in the workplace must be reported to the employer, in writing, no later than five calendar days after such a conviction. The grantee, in turn, must notify the Arts Endowment's Grants & Contracts Officer, in writing, within ten calendar days of receiving such notice from its employee. The grantee's notice to the Arts Endowment must include the convicted individual's position title and the number(s) of each affected grant.

- Within 30 calendar days of receiving notice of an employee's criminal drug conviction, a grantee should take appropriate personnel action against the convicted employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973,

as amended; or require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program that has been approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

5. The Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. 3001 et seq.) which applies to any organization which controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

Other

If your project, including the planning stage, has environmental implications (e.g., an arts festival in a park or the commissioning and installation of an outdoor sculpture), you may be requested to provide information to the Arts Endowment in response to specific questions in accordance with the National Environmental Policy Act.

If your project includes the planning for major renovation of any structure that is eligible for or on the National Register of Historic Places you may be asked to provide additional information on your project to ensure compliance with the National Historic Preservation Act. This law also applies to planning for new construction that would affect historic properties.

REPORTING BURDEN

The public reporting burden for this collection of information is estimated to average 15 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The Arts Endowment welcomes any suggestions that you might have on improving the guidelines and making them as easy to use as possible. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to: Office of Guidelines & Panel Operations, Room 516, National Endowment for the Arts, Nancy Hanks Center, 1100 Pennsylvania Avenue, NW, Washington, DC 20506-0001. Note: Applicants are not required to respond to the collection of information unless it displays a currently valid U.S. Office of Management and Budget (OMB) control number.

National Endowment for the Arts
Folk & Traditional Arts Infrastructure Initiative, FY 2002

In all future inquiries, refer to your application number, which is:

Application Number—Arts Endowment Use Only	Date
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Please address the reverse side of this card to yourself.
Include this card as the first item in your application package. It will be returned to you to acknowledge receipt of your application at the National Endowment for the Arts.

CUT ALONG DOTTED LINE



National Endowment for the Arts
Nancy Hanks Center
1100 Pennsylvania Avenue, NW
Washington, DC 20506-0001

OFFICIAL BUSINESS

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